

JSP Associates

Company Secretary

Checklist for Compliance of Securities and Exchange Board of India (Substantial Acquisition of shares and Takeovers) Regulations, 1997

II. Disclosures of Shareholdings and Control in a listed company

Regulation No.	By whom	Particulars of disclosure	To whom	Time Period
6.	Transitional Provision			
(1)	Any Person holding more than 5% of shares or voting rights in the company	His aggregate shareholding in that company	Company	Within 2 months of notification of these Regulations
(2)	Company in which any person holds more than 5% of its shares / voting rights	Aggregate number of shares held by each of the person in (1) above	All Stock Exchanges, where its shares are listed	Within 3 months of notification of these Regulations
(3)	Promoter / Person having control over a company	Number & percentage of shares / voting rights held by him and by person(s) acting in concert with him in that company	Company	Within 2 months of notification of these Regulations

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II. Disclosures of Shareholdings and Control in a listed company (contd.)

Regulation No.	By whom	Particulars of disclosure	To whom	Time
6. Transitional Provision				
(4)	Company whose shares are listed on a stock exchange	Names & addresses of promoters and person(s) having control over the company; and number & percentage of shares or voting rights held by each such person	All Stock Exchanges, where its shares are listed	Within 3 months of notification of these Regulations
7. Acquisition of 5% and more shares of a company				
(1)	Any acquirer holding more than 5%, 10% or 14% of shares / voting rights of a company (combining shares held and newly acquired)	Aggregate of his shareholding or voting rights in that company	Target Company and the Stock Exchanges where shares of he target company are listed	Within 3 months of notification of these Regulations

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II. Disclosures of Shareholdings and Control in a listed company (contd.)

Regulation No.	By whom	Particulars of disclosure	To whom	Time Period
7.	Acquisition of 5% and more shares of a company (contd.)			
(1A)	Acquirer as in Regulation 11(1)	1. Purchase / sale aggregating 2% or more of the share capital of the target company 2. Aggregate shareholding after such acquisition / sale	Target Company and the Stock Exchanges where shares of he target company are listed	Within 2 days of such purchase / sale
(2)	Disclosures under 7(1) and (1A) shall be made within 2 days of (1) the receipt of intimation of allotment of shares; (2) the acquisition of shares or voting rights, as the case may be			
(2A)	Stock Exchanges	Information received from the acquirer	On its Notice Board and Website	Immediately
(3)	Target Company, whose shares are acquired under Regulation 7(1) and 7(1A)	Aggregate number of shares held by each of the person in (1) above	All Stock Exchanges, where its shares are listed	Within 7 days of receipt of information under Regulation 7(1) and 7(1A)

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II. Disclosures of Shareholdings and Control in a listed company (contd.)

Regulation No.	By whom	Particulars of disclosure	To whom	Time Period
8.	Continual disclosures			
(1)	Every person, including person mentioned in Regulation 6 (i.e. person holding more than 5% shares / voting rights and Promoter or person having control over the company) who holds more than 15% shares / voting rights in a company	Yearly disclosures relating to his shareholdings as on March 31	Company	Within 21 days from financial year ending March 31
(2)	Promoter / Person having control over a company	Number & percentage of shares / voting rights held by him and by person(s) acting in concert with him, in that company	Company	Within 21 days from 1) Financial year ending March 31, and 2) Record Date for the purpose of declaration of dividend

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II. Disclosures of Shareholdings and Control in a listed company (contd.)

Regulation No.	By whom	Particulars of disclosure	To whom	Time Period
8.	Continual disclosures (contd.)			
(3)	Company whose shares are listed on a stock exchange	Yearly disclosures as on March 31: (1) Changes if any, in the holdings of the person mentioned in Regulation 8(1), and (2) Holdings of promoters or persons having control over the company	All Stock Exchanges, where its shares are listed	Within 30 days from 1) Financial year ending March 31, and 2) Record Date for the purpose of declaration of dividend
(4)	Company whose shares are listed on a stock exchange	Information received under Regulation 6 (3), Regulation 7(1), and Regulation 8 (2)	Maintain Register in the specified format	

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Regulation No.	By whom	Particulars of disclosure	To whom	Time Period
9.	Power to call for information			
	1. Company 2. Stock Exchanges	Disclosures as made under Regulation 6, Regulation 7 and Regulation 8	Securities and Exchange Board of India (the Board)	As and when required by the Board
23(2).	Furnishing the list			
	Company	Furnishing list of Shareholders, Warrantholders or convertible Debentureholders	Acquirer	Within 7 days of the request of the acquirer or within 7 days from the specified date